



LLOYD WILLIAMSON  
FOUNDATION

**The  
Lloyd Williamson  
Schools Foundation**

**Examination  
Policy**

# 2022-2023

## Introduction and main aims

Lloyd Williamson Schools Foundation is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published regulations and awarding body requirements.

This exam policy will ensure that:

- all aspects of the centre's exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted to
- the staff are well informed and supported
- all staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted according to awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- exam candidates understand the exams process and what is expected of them

This policy is reviewed annually.

This Policy will be held on Bright HR for staff and on the school website for parents and members of the public.

## Roles and responsibilities overview

The **head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments. **It is the responsibility of the head of centre to ensure that all staff comply with the instructions in this booklet.** Failure to do so may constitute malpractice as defined in the JCQ publication *Suspected Malpractice: Policies and Procedures, 1 September 2022 to 31 August 2023*:

<https://www.jcq.org.uk/exams-office/malpractice> (ICE Introduction)

The **Examinations Officer** is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.

The head of centre may not be the examinations officer

## Head of centre responsibilities

The 'Head of Centre' is the most senior operational officer in the organisation – Lucy Meyer (Co-principal).

The head of centre understands the contents, refers to and directs relevant centre staff to annually updated CIE/JCQ publications

Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments.

- Where/if using a third party to deliver any part of a qualification (including its assessments) at the centre:

- maintains oversight of, and responsibility for, the delivery of the qualification in accordance with CIE/JCQ regulations and awarding body requirements
- has in place a written agreement with the third party to ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service
- ensures that a copy of the written agreement is available for inspection if requested by the awarding body
- Ensures that relevant members of staff respond promptly to actions raised by the JCQ Centre Inspection Service, understanding that failure to do so could result in the same penalties as listed in the previous bullet point
- Ensures that the centre promptly reports any incidents to the relevant awarding body/bodies which might compromise any aspect of assessment delivery such as a cyber-attack
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials
- Ensures members of centre staff do not forward emails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do not advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment personnel or JCQ personnel

### **Recruitment, selection and training of staff**

- The head of centre retains a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Enables the relevant senior staff, the examinations officer (EO) and the SENCO to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints an ALS lead/SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures that the ALS lead/SENCo has sufficient time to both manage the access arrangements process within the centre and familiarise him/herself with the JCQ publication *Access Arrangements and Reasonable Adjustments*
- Ensures that the examinations officer is line managed and actively supported by a member of the senior leadership team who has a good working knowledge of the examination system

## **Internal governance arrangements**

- The escalation process should the Head of Centre be absent, is that the Exams Officer would take over oversight of examination administration
- Should the Exams Officer be absent, the Deputy Exams Officer would take over oversight of examination administration
- Has in place a member of the senior leadership team (the Head of Centre) who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series
- The Exams Officer ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- The Exams Officer makes sure that a teacher, a tutor or a senior member of centre staff who teaches the subject being examined, is not an invigilator during the examination

## **Delivery of qualifications**

- Delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates
- Enables candidates to receive sufficient and up to date laboratory experience, or relevant training where required by the subject concerned

## **Public liability**

- Complies with local health and safety rules which are in place and ensures that the centre is adequately covered for public liability claims

## **Security of assessment materials**

- Takes all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials, by ensuring:
  - the location of the centre's secure storage facility in a secure room which must only be used for examinations for the purpose of administering secure examination materials
  - appropriate arrangements are in place to ensure that confidential materials are only handed over to authorised members of centre staff
  - access to the secure room and secure storage facility is restricted to the authorised three keyholders (ensuring only persons authorised by the head of centre, the exams officer and the deputy exams officer are allowed access to the centre's secure storage facility as one of the three key holders)
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - appropriate arrangements are in place to ensure that confidential examination materials are only handed over to authorised members of centre staff

- appropriate arrangements are in place for handling secure electronic materials
- that when it is permitted to remove question paper packets from secure storage, and to avoid potential breaches of security, arrangements are in place to carefully check and record that the correct question paper packets are opened
  - (If it is ever subsequently identified following this check that the wrong question paper packet has been opened, it will be resealed and the incident reported to the relevant awarding body's Malpractice Investigation Team immediately)
- Makes arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the current JCQ publication *Instructions for conducting examinations*
- Makes arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments
- Allows candidates access to relevant pre-release materials on, or as soon as possible after, the date specified by the awarding bodies

## Malpractice

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during and after assessments have taken place
- Ensures any person involved in administering, teaching or completing examinations/assessments is advised that where malpractice is suspected, or alleged, personal data about them will be provided to the awarding body (or bodies) whose examinations/assessments are involved. Personal data about them may also be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected Malpractice – Policies and Procedures*
- Ensures irregularities are investigated and informs the awarding bodies immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- As required by an awarding body, ensures evidence of any instances of alleged or suspected malpractice (which includes maladministration) is gathered in accordance with the JCQ publication *Suspected Malpractice - Policies and Procedures* and provides such information and advice as the awarding body may reasonably require

## Policies/procedures

- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)
- The Exam Contingency Plan can be found on the school's website.

- The Lockdown Policy (Exams) can be found in the School's Lockdown Policy
- Ensures an internal appeals procedure is in place and drawn to the attention of candidates and (where relevant) their parents/carers. The Internal Appeals Procedure can be found on the School's Website.

### **Equalities Policy**

Ensures the centre's equalities policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements  
The Equalities Policy (Exams) can be found on the School's website

- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers

### **Complaints and Appeals Procedure**

- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers
- The Complaints Procedure can be found on the School's Website

### **Child Protection/Safeguarding Policy**

- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements
- The Child Protection Policy can be found on the School's website

### **Data Protection Policy (Exams)**

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations
- The Data Protection Policy (Exams) can be found on the School's website

### **Whistleblowing Policy**

- Ensures the centre has a whistleblowing policy in place

### **Access Arrangements Policy**

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments

### **Conflicts of interest**

- Ensures the relevant awarding bodies are informed before the published deadline for entries for each examination series of any potential conflict of interest where:
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a close relationship to the candidate
- Maintains clear records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where:
  - a member of exams office staff has a close relationship to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (noting that being entered by the centre must be as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre
- The Conflicts of Interest Policy (Exams) can be found on the School's Website

## **National Centre Number Register**

- Provides contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed which must be the registered address of the centre
- Ensures the National Centre Number Register annual update is responded to by the end of October
- Takes responsibility for confirming, on an annual basis, that they are both aware of and adhering to the latest version of the JCQ's regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update
- Understands that this responsibility cannot be delegated to a member of the senior leadership team or the examinations officer, and acknowledges that failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in:
  - the centre status being suspended
  - the centre not being able to submit examination entries
  - the centre not receiving or being able to access question papers and ultimately, awarding bodies could withdraw their approval of the centre

## **Centre inspections**

- Co-operates with the JCQ Centre Inspection Service, an awarding body or a regulatory authority when subject to an inspection, an investigation or an unannounced visit, and takes all reasonable steps to comply with all requests

for information or documentation made by an awarding body or regulatory authority as soon as is practical

- Allows all venues used for examinations and assessments, paperwork and secure storage facilities to be open to inspection
- Understands the JCQ Centre Inspector will identify him/herself with a photo ID card and **must** be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility

## Exams Officer

- Understands the contents of annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for conducting examinations](#)
  - [Suspected Malpractice - Policies and Procedures](#)
  - [Post-Results Services \(PRS\)](#)
  - [A guide to the special consideration process](#)
- Completes/submits the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR <https://ocr.org.uk/administration/ncn-annual-update/>) by the end of October each year
  - Confirms the details or informs the awarding bodies of any changes to the centre's contact details through the National Centre Number Register
  - Informs the National Centre Number Register Team **immediately** (e-mail address – [ncn@ocr.org.uk](mailto:ncn@ocr.org.uk)) if any changes occur after the National Centre Number Register annual update has taken place
  - (Where it may be applicable) Informs the National Centre Number Register Team no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility
  - Informs the National Centre Number Register Team immediately of any other changes in circumstances that could affect the centre's status
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the ALS lead/SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed (where required) of any conflict of interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries for each examination series
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials



## Senior leaders

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for conducting examinations](#)
  - [Access Arrangements and Reasonable Adjustments](#)
  - [Suspected Malpractice - Policies and Procedures](#)
  - [Instructions for conducting non-examination assessments \(and the instructions for conducting coursework\)](#)
  - [A guide to the special consideration process](#)
- Ensure teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and ALS lead/SENCo
- Ensure teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensure teaching staff attend relevant awarding body training and update events

## Special educational needs co-ordinator (SENCO)

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including: [Access Arrangements and Reasonable Adjustments](#)
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

## Teaching staff

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo
- Keep updated with awarding body teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

## Invigilators

- Attend training (on the current regulations), annual update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

## Reception staff

- Support the EO in dealing with exam-related deliveries and dispatches with due regard to the security of confidential materials

## Candidates

Where applicable in this policy, the term 'candidates' refers to candidates and/or their parents/carers.

## The exam cycle

The exams management and administration process that needs to be undertaken for each exam series is often referred to as the exam cycle and relevant tasks required within this grouped into the following stages:

- planning
- entries
- pre-exams
- exam time
- results and post-results

This policy identifies roles and responsibilities of centre staff within this cycle.

## Planning: roles and responsibilities

### Head of centre

- Directs relevant centre staff to annually updated JCQ publications including [GR, ICE, AA, SM, NEA \(and the \*Instructions for conducting coursework\*\) and SC](#)

### Exams Officer

- Signposts relevant centre staff to CIE/JCQ publications and awarding body documentation relating to the exams process that have been updated
- Signposts relevant centre staff to CIE/JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

## Information gathering

### Exams Officer

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of IGCSE and GCSE exams

## Senior leaders and teaching staff

- Respond (or ensure teaching staff respond) to requests from the EO on information gathering
- Meet the internal deadline for the return of information
- Inform the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Note the internal deadlines in the annual exams plan and directs teaching staff to meet these

## Access arrangements

### Head of centre

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication [Access Arrangements and Reasonable Adjustments](#)
- Ensures the ALS lead/SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

### ALS lead/SENCo

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements/reasonable adjustments requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent** forms from candidates where required and ensures **Data protection confirmation(s)** by the examinations officer or SENCo are completed
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for CIE/JCQ inspection purposes containing all the required documentation (if documentation is stored electronically, an e-folder must be created for each individual candidate. The candidate's e-folder must hold each of the required documents for inspection)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates

- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Liaises with the relevant member of the senior leadership team on the centre's policy on the use of word processors in examinations
- The Word Processor (Exams) Policy can be found on the School's website

## Separate Invigilation

- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets CIE/JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

## Senior leaders and Teaching staff

- Support the ALS lead/SENCo in determining and implementing appropriate access arrangements/reasonable adjustments
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

## Internal assessment and endorsements

### Head of centre

- Ensures arrangements are in place to co-ordinate and standardise all marking of centre- assessed components and ensures that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions (including where relevant, private candidates)
- Ensures that teaching staff, in accordance with awarding bodies' instructions, return all subject-specific forms by the required date
- Provides fully qualified teachers to mark non-examination assessments, and/or fully qualified assessors for the verification of centre-assessed components
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for IGCSE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

## Non-examination assessment policy

- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement
- The Non-Examination Assessment Policy can be found on the School's website

### **Co-Principals**

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work
- Ensure appropriate internal moderation, standardisation and verification processes are in place
- Ensure teaching staff delivering IGCSE & GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensure teaching staff follow appropriate instructions issued by the awarding body
- Ensure teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Teaching staff**

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (coursework, non-examination assessments, social media) prior to assessments taking place
- Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Exams officer**

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Signposts teaching staff to relevant JCQ [Information for candidates documents](#) that are annually updated

### **Invigilation**

#### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

## **Exams officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the current instructions for conducting examinations and an annual update for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)
- Ensures invigilators are briefed on the access arrangement candidates in their exam room and made aware of the access arrangement(s) awarded (ensuring these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

## **Entries: roles and responsibilities**

### **Estimated entries**

#### **Exams Officer**

- Requests estimated or early entry information, where this may be required by awarding bodies, from teachers in a timely manner to ensure awarding body external deadlines for submission can be met
- Makes candidates aware of the Information for candidates (Privacy Notice) when entries are being processed

### **Teaching Staff**

- Provide entry information requested by the EO to the internal deadline
- Inform the EO immediately of any subsequent changes to entry information

### **Final entries**

#### **Exams Officer**

- Requests final entry information from teaching staff in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs teaching staff of subsequent deadlines for making changes to final entry information without charge
- Confirms with head of centre final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies

- Observes each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments

## **Final entries collection and submission procedure**

### **Exam Officer**

- Requests awarding body specification exam codes and options from teaching staff in September.
- Uses Awarding Organisation portals to advise estimated entries.
- This is repeated in January following any new intake to ensure all EE's are made..
- Teachers complete proforma (emailed out by EO) for each of their taught subjects, giving individual candidate entry requirements.
- Personal tutors requested to check with each of their tutees whether there are any additional subject entries required (e.g. students resitting exams for which they have not received tuition, or taking exams in subjects for which they have had external tuition) and email EO accordingly.

### **Teachers/Personal Tutors**

- Provide information requested by the EO to the internal deadline
- Inform the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes changes to candidate personal details, amendments to existing entries, withdrawals of existing entries
- Check final entry submission information provided by the EO and confirms information is correct

### **Late entries**

#### **Exams Officer**

- Has clear entry procedures in place to minimise the risk of late entries

### **Teachers/Personal Tutors**

- Minimise the risk of late entries by following procedures identified by the EO in relation to making final entries on time
- Meeting internal deadlines identified by the EO for making final entries

### **Re-sit entries**

- Teachers and Personal tutors identify re-sit entries for the all exam series. For exam series outside the summer candidates are asked to complete exam registration forms which are forwarded to the EO for entries to be made.

### **Private candidates**

LWSF can only accept a limited number of private candidates due to limited exam room capacity. This will only be in exceptional circumstances.

Private candidates complete an exam registration form outlining specific exam information, and any EAA requirements along with a copy of photographic ID.

Any EAA requirements are discussed with candidates by EO during this process and where applicable EO will work with SENCO to arrange any specialist assessor testing or review of medical documentation used to inform the EAA process.

Only where all evidence, required for an EAA application to be made, is supplied will an application be considered for external candidates. For example, for word processor use this may include procuring written evidence of normal way of working, supplied by other institutions or candidates tutors and ensuring any prior specialist assessment evidence is acceptable and that the specialist assessor's suitability meets board requirements and the school's criteria.

## **Candidate statements of entry**

### **Exams Officer**

- Provides candidates with statements of entry for checking

### **Teaching staff/Personal Tutors**

- Ensure candidates check statements of entry and return any relevant confirmation required to the EO Candidates

### **Candidates**

- Confirm entry information is correct or notify the EO of any discrepancies

## **Pre-exams: roles and responsibilities**

### **Access arrangements**

#### **SENCO**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates documents, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

### **Briefing candidates**

#### **Exams Officer**

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or significant local disruption to exams



- Prior to exams issues relevant JCQ & CIE information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam timetable clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - wrist watches in exam rooms
  - when and how results will be issued and centre will deal that will be available
  - the post-results services information and how the centre deals with requests from candidates
  - when and how certificates will be issued

### **Access to Scripts, Reviews of Results and Appeals Procedures**

Before the start of any exam series the EO will produce information relating to results, this will include:

- when, where and with whom they will have the opportunity to discuss their results
- the arrangements for post-results services, including
  - how they request a service
  - when they will be informed of
  - the services that will be made available by the awarding bodies
  - the deadlines that have to be met
  - the fees that will be charged
  - how they are informed of the outcome of their request
  - the internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal

The centre will have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results.

The centre will treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals.

### **Dispatch of exam scripts** **Exams Officer**

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

## **Estimated grades**

### **Head of centre**

- Ensures teaching staff provide estimated grade information to the EO by the internal deadline

### **Exams Officer**

- Submits estimated grade information to awarding bodies to meet the external deadline
- Keeps a record to track what has been sent

## **Internal assessment and endorsements**

### **Head of centre**

- Ensures procedures are in place for candidates to appeal internal assessment decisions and make requests for reviews of marking

### **SENCO**

- Liaises with teaching staff and EO to implement appropriate access arrangements for candidates undertaking internal assessments and practical endorsements

### **Teaching staff**

- Support the SENCO in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- Assess and authenticate candidates' work
- Assess endorsed components
- Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

### **Head of centre**

- Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensures teaching staff assess endorsed components according to awarding body requirements
- Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

### **Exams Officer**

- Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- Keeps a record to track what has been sent
- Logs moderated samples returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

### **Candidates**

- Authenticate their work as required by the awarding body

## **Invigilation**

### **Exams Officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on the current regulations on appointment and updates experienced invigilators on an annual basis of any regulation changes and any changes to centre-specific processes
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator (acting as a practical assistant, reader or scribe) are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios
- Liaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

### **SEnCo**

- Liaises with the EO regarding facilitation and invigilation of access arrangement candidates

### **Invigilators**

- Provide information as requested on their availability to invigilate throughout an exam series
- Inform the EO at the earliest opportunity should they become unable to invigilate any exam session

## **Centre Inspections**

### **Exams Officer or Head of centre**

- Will accompany the Inspector throughout a visit

### **SEnCo**

- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

## **Seating and identifying candidates in exam rooms**

### **Exams Officer**

- Ensures a procedure is in place to verify candidate identity including private candidates

### **Candidate Identification Procedure**

- The school will verify the identity of all students that they enter for examinations or assessments. The centre must be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID.

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan and invigilators are informed of those candidates with access arrangements and made aware of the access arrangement(s) awarded)

#### Invigilators

- Follow the procedure for verifying candidate identity provided by the EO
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

## **Security of exam materials**

### **Exams Officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only handed over to those authorised by the head of centre
- Ensures only persons authorised by the head of centre and the exams officer are allowed access to the centre's secure storage facility as one of the two key holders
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Carefully checks question paper packets when they are removed from the dispatch packing and keeps a log of the check
- Ensures the secure storage facility contains only current and live confidential material (ensuring that past examination question papers, internal tests and mock examinations are not kept in the centre's secure storage facility)
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)
- Ensures the integrity and security of any electronic question paper is maintained during the downloading, printing and collating process (ensuring printing is carried out in an area that can be controlled to prevent unauthorised personnel accessing live assessment materials and ensuring only authorised members of centre staff have access to electronic question papers)

### **Reception staff**

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for transfer to the secure storage facility

### **Teaching staff**

- Adhere to the recording system to track confidential materials taken from or returned to secure storage throughout the time the material is confidential

## **Timetabling and rooming**

### **Exams Officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)
- Identifies exam rooms and specialist equipment requirements
- Allocates invigilators to exam rooms (or where supervising candidates due to an exam timetable clash) according to required ratios
- Liaises with site staff to ensure exam rooms are set up according to awarding body requirements
- Liaises with the SENCO regarding rooming of access arrangement candidates

### **SENCO**

- Liaises with the EO regarding rooming of access arrangement candidates
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

## **Alternative site arrangements**

### **Exams Officer**

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the board to timescale by submitting a alternative site arrangement notification

## **Transferred candidate arrangements**

### **Exams Officer**

- Liaises with the host or entering centre, as required
- Processes requests for Transferred Candidate
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

## **Exam time: roles and responsibilities**

### **Access arrangements**

#### **Exams Officer**

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements
- Has a process in place to deal with emergency access arrangements as they arise at the time of exams

### **Absent or late candidates**

- A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre.
- A candidate who arrives late, and is permitted by the centre to sit the examination, must be allowed the full time for the examination.
- Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts
- Invigilators
- Are informed of the policy/process for dealing with late and /or absent candidates through training
- Ensure that relevant information for late candidates is recorded on the exam room incident log
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

### **Senior Invigilator**

- Briefs late candidates before seating them in the exam venue

### **Exams Officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body
- Warns very late candidates that their script may not be accepted by the awarding body
- Ensures that absent candidates are clearly marked as such on the awarding body attendance register

### **Conducting exams**

#### **Head of centre**

- Ensures venues used for conducting exams meet the requirements of CIE and awarding bodies

#### **Exams Officer**

- Ensures exams are conducted according to CIE and awarding body instructions
- Uses checklists to ensure each exam session is fully prepared for, unplanned events can be dealt with and associated follow-up is completed

### **Dispatch of exam scripts**

#### **Exams Officer**

- Dispatches scripts as instructed by CIE and awarding bodies
- Keeps appropriate records to track dispatch

### **Exam papers and materials**

#### **Exams Officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets

- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures care is taken to ensure the correct question paper packets are opened by ensuring a member of centre staff, additional to the person removing the papers from secure storage, e.g. an invigilator, checks the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

## Exam rooms

### Head of centre

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room 'designated' as an exam room
- Ensures that when a room is 'designated' as an exam room it is not used for any purpose other than conducting external exams
- Ensures only approved centre staff (who have not taught the subject being examined) are present in exam rooms to perform permitted tasks
- Ensures the centre's policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates
- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

### Food and Drink Policy (Exams)

- Food in an exam room is not permitted, unless a candidate has a known and declared medical condition requiring such, and permission has been granted by the SENCo.
- Water bottles maybe taken into the exam venue as long as there is no writing on the bottle, bottles are transparent and any labels have been removed.

### Leaving the Examination Room Policy

- Candidates that have allocated rest breaks may be permitted to leave the exam room if prescribed by the SENCo, candidates **MUST** be supervised during this time either by an invigilator or a trained member of centre staff.
- Candidates are only permitted to leave the exam room for emergency reasons, where a toilet break is required this will be included within your full exam time. Where a candidate is unwell a supervised rest break may be granted, in which case when the candidate is able to resume their exam the full time will be given.
- Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence.

## **Exams Officer**

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that the mobile phone is only allowed to be used for this specific purpose and that it must be kept on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated
- Head of centre
- Ensures a documented emergency evacuation procedure for exam rooms is in place
- Ensures arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated
- Ensure exam rooms are available and set up as requested by the EO
- Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- Ensure fire alarm testing does not take place during exam sessions
- The Emergency Evacuation Policy (Exams) can be found on the School's website

## **Invigilators**

- Conduct exams in every exam room according to awarding body requirements and as instructed by the centre in training/update and briefing sessions

## **Candidates**

- Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators
- Are required to remain in the exam room for the full duration of the exam

## **Irregularities**

### **Head of centre**



- Ensures (as required by an awarding body) any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body immediately, by completing the appropriate documentation

### **Managing Behaviour Policy**

- Lloyd Williamson Schools Foundation has a zero tolerance policy towards poor behaviour in examinations. Any student causing disruption will be removed from the exam venue and either rehoused elsewhere if possible and appropriate, or if necessary sent home or parent/carers contacted to collect student .
- Parents/carers will be informed of poor behaviour in both internal and external examinations and a follow up maybe arranged with SLT.
- Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.
- The invigilator must record what has happened.  
The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room.

### **Malpractice Policy**

- Lloyd Williamson Schools Foundation has a zero tolerance policy towards malpractice in examinations.
- All reasonable steps are taken to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations
- All alleged, suspected or actual incidents of malpractice are reported and investigated according to the requirements of the centre and the exam boards

### **Head of centre**

- Ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

### **Exams Officer**

- Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

### **Invigilators**

- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness, disruption or disturbance in the exam room, emergency evacuation)

## **Special consideration**

### **Head of Centre**

- Provides signed evidence to support eligible applications for special consideration

### **Exams Officer**

- Processes eligible applications for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline

## **Special Consideration Policy**

### **Candidates**

- Complete a special considerations form (parent/carers may also be asked to sign if they are substantiating the candidates statement).
- Provide appropriate accompanying evidence to support special consideration applications, where required

### **Unauthorised items**

- Candidates must abide by the current JCQ/CIE regulations for examinations with regard to unauthorised items. Candidates will not be permitted to bring their bags/coats/mobile phones or any other items that are not on the exam requirement list into the exam room. Instead these will be safely stored in a different room.
- Candidates may have a wrist watch but this must be removed and placed on their desk.
- In the examination room, candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.
- Potential technological/web enabled sources of information such as watches are not permitted. All unauthorised items are left outside of the examination room. Any pencil cases taken into the examination room must be see-through.
- Any unauthorised items that have been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items. If candidates have access to unauthorised items in the examination room this may be considered as malpractice.
- Prior to the examination starting, the invigilator must ensure that candidates have removed their wrist watches, placing them on their desks.
- A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. In this case candidates would be required to leave their watches outside of the examination room.

### **Invigilators**

- Are informed of the arrangements through training

## **Results and post-results: roles and responsibilities**

## **Internal assessment**

### **Head of centre**

- Ensures teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by awarding bodies
- Ensures work is returned to candidates or disposed of according to the requirements

## **Managing results day(s)**

### **Head of centre**

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of enquiries and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

## **Exams Officer**

- Works with senior leaders to ensure procedures for managing the main summer results day(s) are in place

## **Summer Results day/s programme**

EO emails all candidates with results day procedures and post results information. Internal candidates can collect their statements of results on the relevant Thursday from 09.00, if candidates are unable to come in person they can forward a signed, completed results request form to the EO arranging for either for a nominated named person to collect them on their behalf or for their results to be emailed to their email address.

Post results information and request forms will also be available in the centre on result day/s

Senior members of centre staff will be available in the centre to help/advise candidates with post results services, they will see candidates in order of appearance or will call candidates back in order of contact.

## **IT Lead**

- Ensures that IT systems are in good working order and no maintenance/interruption is scheduled in the main results weeks.

## **Accessing results**

### **Head of centre**

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates
- Understands that it is not permitted to withhold provisional results from candidates under any circumstances

## **Exams Officer**

- Informs candidates in advance of when and how results will be released to them
- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Resolves any missing or incomplete results with awarding bodies
- Issues statements of results to candidates on issue of results date
- Provides summaries of results for relevant centre staff on issue of results date

## **Post-results services**

### **Head of centre**

- Ensures an internal appeals procedure is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Ensures that senior members of centre staff are available immediately after the publication of results
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

### **Exams Officer**

- Provides information to candidates and staff on the services provided by awarding bodies and the fees charged (see also above Briefing candidates and Access to Scripts, Reviews of Results and Appeals Procedures)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and to collect candidate informed consent (after the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline for the particular service
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

### **Candidates**

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant

## **Analysis of results**

### **Exam Officer in liaison with Head of centre**

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Certificates
- Certificates are provided to centres by awarding bodies after results have been confirmed.

## **Certificate Issue Procedure**

- The EO will inform internal candidates, via email, once their certificates are ready for collection. If candidates are unable to collect these in person they may arrange for a nominated person to do so on their behalf or for the EO to post them out on confirmation of address. Certificate collectors will be asked to sign and date the records log.
- Private candidates will have their certificates posted to the address supplied on registration. Certificates will be posted using Royal Mail Signed For Service.  
EO will keep a record of all certificate collection and posting details.
- The centre will distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). A record should be kept of the certificates that are issued.

### **Certificate Retention Policy**

- Certificates will be kept for a minimum of 12 months from date of issue, following this period the school may confidentially destroy any uncollected certificates. The EO will retain a log of all destroyed certificates for a minimum of four years.

### **Exams review: roles and responsibilities**

#### **Exams Officer**

- Provides SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- Collects and evaluates feedback from staff, candidates and invigilators to inform an exams review

#### **Head of centre**

- Works with the EO to produce a plan to action any required improvements identified in the review

### **Retention of records: roles and responsibilities**

#### **Exams Officer**

- Keeps records as required by CIE/JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

Reviewed and updated April 2023.

**Lucy Meyer**  
**Co-Principal**

**Deborah Thackeray**  
**Examinations Officer**